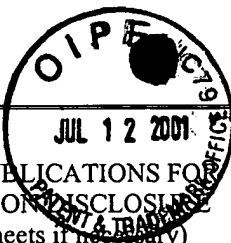


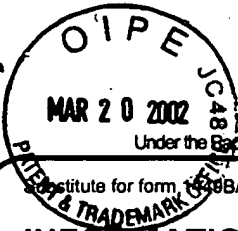
FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Attorney Docket No.: 19930-00800US Applicant: Robert Anderson et al. Filing Date: December 20, 2000		Application No.: 09/747,064 Group: Not Yet Assigned	
Reference Designation			U.S. PATENT DOCUMENTS			Page 1
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
<i>[Signature]</i> AA	5,414,540	05/09/95	Patel et al.	359	39	
<i>[Signature]</i> AB	5,917,625	06/29/99	Ogusu et al.	359	130	
<i>[Signature]</i> AC	App. No. 09/442,061	11/16/99	Weverka et al.	385		
<i>[Signature]</i> AD	5,960,133	9/28/99	Tomlinson	385		
____ AE						
____ AF						
____ AG						
____ AH						
____ AI						
____ AJ						
____ AK						
____ AL						
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
____ AM						
____ AN						
____ AO						
____ AP						
____ AQ						
____ AR						
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
<i>[Signature]</i> AS	Sun, et al., "Demultiplexer with 120 Channels and 0.29-nm Channel Spacing," IEEE Photonics Technology Letters, Vol. 10, No. 1, January 1998, pp. 90-92.					
<i>[Signature]</i> AT	Nishi et al., "Broad-Passband-Width Optical Filter for Multi/Demultiplexer Using a Diffraction Grating and a Retroreflector Prism," Electronics Letters, Vol. 21, No. 10, May 1985, pp. 423-424.					
<i>[Signature]</i> AU	Philippe et al., "Wavelength demultiplexer: using echelette gratings on silicon substrate," Applied Optics, Vol. 24, No. 7, April 1985, pp. 1006-1011.					
<i>[Signature]</i> AV	Piezo Systems, Inc. Catalog #2, 1998, pp. 1, 30-45.					
<i>[Signature]</i> AW	Ford et al., "Wavelength Add-Drop Switching Using Tilting Micromirrors," Journal of Lightwave Technology, Vol. 17, No. 5, May 1999, pp. 904-911.					
EXAMINER <i>[Signature]</i> DATE CONSIDERED 9/13/03						

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449 (Modified)		Attorney Docket No.: 19930-00800US		Application No.: 09/747,064		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant: Robert Anderson et al.				
		Filing Date: December 20, 2000		Group: Not Yet Assigned		
Reference Designation		U.S. PATENT DOCUMENTS			Page 1	
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
<u>AS</u> AA	5,999,672	12/07/99	Hunter et al.	385	37	
<u>AS</u> AB	6,097,519	08/01/00	Ford et al.	359	130	
<u>AS</u> AC	6,097,859	08/01/00	Solgaard et al.	385	17	
<u>AS</u> AD	6,108,471	08/22/00	Zhang et al.	385	37	
____ AE						
____ AF						
____ AG						
____ AH						
____ AI						
____ AJ						
____ AK						
____ AL						
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
____ AM						
____ AN						
____ AO						
____ AP						
____ AQ						
____ AR						
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
<u>AS</u> AS	Grade, John D. et al., "A Large-Deflection Electrostatic Actuator For Optical Switching Applications," Solid-State and Actuator Workshop, Hilton Head Island, SC, pp. 97-100 (June 2000)					
____ AT						
____ AU						
____ AV						
____ AW						
____ AX						
EXAMINER	<u>Daniel R. Hovacek</u>		DATE CONSIDERED	<u>9/13/03</u>		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



COPY OF PAPERS  
ORIGINALLY FILED

PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Institute for form 1546B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

### Complete if Known

Application Number	09/747,064
Filing Date	December 20, 2000
First Named Inventor	Anderson, Robert
Art Unit	2633
Examiner Name	Unassigned
Attorney Docket Number	019930-000800US

### OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
<i>DRP</i>	BC	RALLISON, R.D., "Dense Wavelength Division Multiplexing (DWDM) and the Dickson Grating," White Paper, January 6, 2001	
	BD		
	BE		
	BF		
	BG		
	BH		
	BI		
	BJ		
	BK		
	BL		
	BM		

RECEIVED

MAR 25 2002

Technology Center 2600

Examiner  
Signature

*Daniel P. Brown*

Date  
Considered

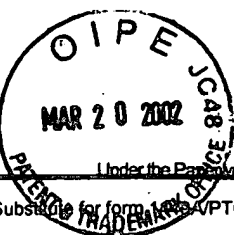
9/13/03

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DE 7064759 v1



COPY OF PAPERS  
ORIGINALLY FILED

Approved for use through 10/31/2002. OMB 0851-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

### Complete if Known

Application Number	09/747,064
Filing Date	December 20, 2000
First Named Inventor	Anderson, Robert
Art Unit	2633
Examiner Name	Unassigned
Attorney Docket Number	019930-000800US

### U.S. PATENT DOCUMENTS

Examiner	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	US-6,307,657		10/23/01	Ford	359/130
	AB	US-				
	AC	US-				
	AD	US-				
	AE	US-				
	AF	US-				
	AG	US-				
	AH	US-				
	AI	US-				
	AJ	US-				
	AK	US-				
	AL	US-				
	AM	US-				
	AN	US-				
	AO	US-				
	AP	US-				
	AQ	US-				
	AR	US-				
	AS	US-				
	AT	US-				

RECEIVED

MAR 25 2002

Technology Center 2600

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	AU							
	AV							
	AW							
	AX							
	AY							
	AZ							
	BA							
	BB							

Examiner  
Signature

Date  
Considered

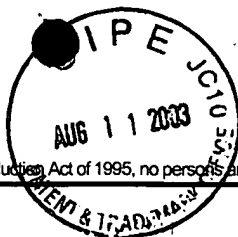
9/13/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DE 7064759 v1



PTO/SB/08A (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Page 1 of 1

**Complete if Known**

Application Number	09/747,064
Filing Date	December 20, 2000
First Named Inventor	Anderson, Robert, et. al.
Art Unit	2633
Examiner Name	Unassigned
Attorney Docket Number	019930-000800US

RECEIVED

AUG 12 2003

Technology Center 2600

**U.S. PATENT DOCUMENTS**

Examiner	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
DAF	A1	US-6,529,307 B1	03-04-2003	Peng et al.	359/256
	A2	US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	B1					<input type="checkbox"/>
	B2					<input type="checkbox"/>

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C1		
	C2		

Examiner Signature	Daniel Petkovice	Date Considered	9/13/03
-----------------------	------------------	--------------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.